

11-20-00
A
Patent Application Transmittal

(only for new nonprovisional applications under 37 C.F.R. 1.53(b))

EXPRESS MAIL

11/17/00
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I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents and Trademarks, Washington, D.C. 20231.

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[37 CFR § 1.8 Certificate of Mailing CANNOT be used.]

Date: November 17, 2000
Attorney Docket No.: DT-3788

09/16/00
JCE29 U.S. PRO
ASSISTANT COMMISSIONER FOR PATENTS
Box Patent Application
Washington, D.C. 20231

Sir:

With reference to the filing in the United States Patent and Trademark Office of an application for patent in the name(s) of: **James MacPherson**

entitled: **SYSTEM AND METHODS FOR TRADING MUTUAL FUNDS**

☒ New Application
☐ Continuing Application

☐ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP)
of prior application serial no. , filed .

[Note: If priority under 35 U.S.C. 120 involves a series of respectively copending applications, then in this amendment identify each and its relationship to its immediate predecessor.]

☐ The prior application is assigned of record to .

☐ This is an application of a small entity under 37 CFR 1.9(f) and the amounts shown in parentheses below have been employed in calculating the fee:

☐ Small Entity Verified Statement(s) is (are) enclosed.
☐ Small Entity Verified Statement(s) filed in prior application, status still proper and desired

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The following are enclosed:

X Specification (18 pages) & Abstract
X 13 Sheet(s) of Drawings
X 47 Claim(s) (including 3 independent claim(s))
X This application contains a multiple dependent claim
— Information Disclosure Statement, PTO-1449 and — references;

X This filing fee has been calculated on the basis of the claims as amended by any enclosed preliminary amendment as follows:

Basic Fee, \$710.00 (\$355.00).....	\$ 710.00
Number of Claims in excess of 20 at \$18.00 (\$9.00) each:.....	486.00
Number of Independent Claims in excess of 3 at \$80.00 (\$40.00) each:.....	00.00
Multiple Dependent Claim Fee at \$270.00 (\$135.00).....	270.00
<u>X</u> Assignment Recording Fee \$40.00	40.00
Total Filing Fee.....	\$ 1,506.00

X The Commissioner is hereby authorized to charge payment of the following fees associated with this communication and credit any overpayment to Deposit Account No. 50-0955. A duplicate copy of this sheet is enclosed

- (x) Any additional filing fees required under 37 CRF 1.16
(x) Any patent application processing fees under 37 CRF 1.17.

X Oath or Declaration and Power of Attorney
X New X signed — unsigned
— Copy from a prior application (37 C.F.R. 1.63(d))

Deletion of Inventors

— Signed Statement attached deleting inventor(s) named in the prior application (37 C.F.R. 1.63(d)(2) and 1.33(b))

— Power of attorney and/or correspondence address was changed during prosecution of the prior application. The new power of attorney is to Reg. No. . The new correspondence address is indicated above.

— Incorporation by Reference (for continuation or divisional application)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

— A Preliminary Amendment is enclosed.
(Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

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- Cancel in this application original claims ____ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
- X New formal drawings are enclosed.
- Certified copy of each foreign priority application on which the claim for priority under 35 U.S.C. 119 is based was filed in prior U.S. application serial no. , filed . A list of said foreign priority application(s) is (are) provided below. Acknowledgement thereof is requested.

Application No.

Filed

In

- X The Commissioner is hereby authorized to charge payment of the following fees during the pendency of the application or credit any overpayment to Deposit Account No. 50-0955. A duplicate copy of this sheet is enclosed

- (X) Any patent application processing fees under 37 CFR 1.17
- (X) Any filing fees required under 37 CFR 1.16 for the presentation of extra claims.

Respectfully submitted,

Attorneys for Applicant(s)

By: _____

Rohit Gillon

Reg # 39,202